

ASI Communications Procedure for Changes to ASI Documents

V2 – 09 February 2022

1 PURPOSE

This procedure describes the mechanisms ASI will use to communicate changes to ASI Documents to affected Stakeholders, including Members and Auditors.

The procedure has been developed with reference to the ISEAL Codes of Good Practice (Standards Setting Code, Impacts Code and the Assurance Code).

The procedure must be read in conjunction with the ASI Standards Setting Procedure.

2 SCOPE AND APPLICATION

This procedure applies to the communication of changes to ASI Documents, defined as:

- ASI Standards and Guidance
- ASI Assurance Manual
- ASI Claims Guide
- ASI Glossary

Changes to ASI Documents may be considered as Major or Minor.

3 DEFINITIONS

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| ASI Documents | The normative and non-normative documents supporting the ASI Certification system, namely the ASI Performance Standards and the associated Guidance, the ASI Chain of Custody Standard and the associated Guidance, ASI Glossary, ASI Assurance Manual and ASI Claims Guide. |
| Auditor | A qualified person individually accredited by ASI who conducts ASI Audits on behalf of and under the responsibility of an ASI Accredited Auditing Firm. |
| Member | <p>An Entity or group of Entities that is a current member of one of ASI’s six membership classes:</p> <ul style="list-style-type: none"> • Production and Transformation (eligible for ASI Certification) • Industrial Users (eligible for ASI Certification) • Civil Society • Downstream Supporters • Associations • General Supporters <p>The use of the term ‘Member’ in the Performance Standard means an ASI Member in the ‘Production and Transformation’ or ‘Industrial Users’ classes.</p> |
| Major Changes | <p>Substantive changes to rules, requirements and expectations defined in the ASI Documents. This would normally include changes to the:</p> <ul style="list-style-type: none"> • Intent or requirements of the ASI Standards |

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| | <ul style="list-style-type: none"> Processes and conformance expectations for ASI Certification as outlined in the ASI Assurance Manual Rules for making and seeking approval of ASI-related claims as noted in the ASI Claims Guide. |
| Minor Changes | <p>Changes to the supporting and guidance information about the ASI Standards or the ASI Assurance Manual or the ASI Claims Guide which do not constitute Major Changes. This includes introduction of new examples, references, definitions or background information to:</p> <ul style="list-style-type: none"> Support the understanding, implementation and/or auditing of the ASI Standards Support the application of the certification and assurance processes in the ASI Assurance Manual Support the understanding and use of ASI-related claims, both on and off product. <p>Minor changes may also include:</p> <ul style="list-style-type: none"> Non-substantive changes to the introductory sections of the ASI Documents. Correction of typographical errors or formatting changes. |
| Stakeholders | Individual or group interested, concerned with or directly affected by a Standard. |

4 REFERENCES

- ASI Assurance Manual
- ASI Chain of Custody Standard
- ASI Chain of Custody Standard Guidance
- ASI Claims Guide
- ASI Glossary
- ASI Performance Standard
- ASI Performance Standard Guidance
- ASI Standards Setting Procedure
- ISEAL Code of Good Practice for Setting Social and Environmental Standards
- ISEAL Code of Good Practice for Assessing the Impacts of Social and Environmental Standards
- ISEAL Code of Good Practice for Assuring Compliance with Social and Environmental Standards

5 PROCEDURE

5.1 Communication of changes to ASI documents

- The ASI Secretariat will determine the most appropriate and efficient strategies to communicate to Stakeholders about changes made to ASI Documents.
- Communication strategies (which may or may not be formally documented) will be developed based on:

- a) identification of the Stakeholders affected by the change
 - b) the appropriate timing and methods of communication
 - c) development of communication material and information, tailored as appropriate, to explain:
 - i. basis for the change
 - ii. Stakeholders involved
 - iii. approach taken to assess and make the change
 - iv. nature and implications of the change
 - v. effective date and transition timing for the change
 - d) the nature and timing of translations into agreed languages, as appropriate, and associated communications.
3. Communication strategies for Major changes to ASI Documents must meet the commitment in the ASI Standards Setting Procedure to publish a new or revised ASI Standard (English version) on the ASI website within 30 days of Board approval (unless otherwise specified in the Public Summary and Consultation Plan). The publication of translations of ASI Documents into other languages may take additional time beyond this period.
 4. Changes made to ASI Documents will be communicated using one or more of the following methods:
 - ASI website
 - ASI communications channels including:
 - Public Newsletters (to all subscribed Stakeholders)
 - Member Updates (Members only)
 - Auditor Updates (ASI Accredited Auditors only)
 - Registered Specialist Updates (ASI Registered Specialists only)
 - Media Releases
 - ASI social media platforms
 - Frequently Asked Questions (FAQs) in elementAI
 - elementAI alerts and information emails
 - Member and Auditor training (in-person, live and/or recorded webinars and educationAI learning modules)
 - Board, Committee, Working Group and IPAF meetings
 - Direct contact with affected Stakeholders
 - ASI Stories of Change
 - Other periodic or special reports and publications.
 5. ASI’s official language is English. ASI’s Newsletters, Member Updates and Media Releases are also regularly translated into Chinese, and shared via ASI’s WeChat group and in the China portal on the ASI website. Other languages may also be used for tailored ASI communications and training, as appropriate.
 6. All re-issued ASI Documents will include a document control section to track revisions over time.

6 RECORDS

Records of changes communicated will be maintained in Box by the ASI Secretariat for at least 5 years from the date the records were generated.

Public access to change communications in Newsletters, Media Releases and website updates will also be accessible via the ASI website.

7 DOCUMENT CONTROL

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| Document Name | ASI Communications Procedure for Changes to ASI Documents |
| Document ID | ASI-PRO-11 |
| Revision history | Version 1 – initial issue Version 2 – change to include the ASI Glossary in the Scope, expanded definition of Minor Changes to include claims, and inclusion of Registered Specialist Updates |
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| Approved By | CEO |
| Next Review Date | 3 years or as required |